

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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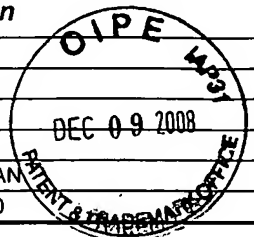
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**Complete if Known**

Application Number	10/813,260
Filing Date	March 31, 2004
First Named Inventor	Paul A. THOMAS
Art Unit	3696
Examiner Name	Samica L. NORMAN
Attorney Docket Number	05997.0013-03000

**U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS**

Examiner Initials	Cite No. <sup>1</sup>	Document Number	Issue or Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		5,950,175	9/1999	Austin	
		5,966,700	10/1999	Gould et al.	
		6,070,151	5/2000	Frankel	
		6,088,685	7/2000	Kiron et al.	
		6,167,384	12/2000	Graff	
		6,233,566	5/2001	Levine et al.	
		6,249,775	6/2001	Freeman et al.	
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		6,360,210	3/2002	Wallman	
		6,381,585	4/2002	Maples et al.	
		7,028,007	4/2006	Abrahams et al.	
		7,099,843	8/2006	Cassidy et al.	
		2001/0025264	9/2001	Deaddio et al.	
		2002/0019789	2/2002	Ginsberg	
		2002/0035530	3/2002	Ervolini et al.	

**Note: Submission of copies of U.S. Patents and published U.S. Patent Applications is not required.****FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		WO 94/23528	10/1994	Smith		
		WO 99/46710	9/1999	Ervolini et al.		
		WO 2005/059781	6/2005	Camrass et al.		

**NONPATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation <sup>6</sup>
		"Finance and the Family (In the News): Quicker Way Home/Abbey National to Give Mortgage Guarantee Certificates," <i>Financial Times</i> , Section E, January 25, 1986 (2 pgs.).	
		Padgette, Robert L., "Performance Reporting: The Basics and Beyond: Part I," <i>Journal of Financial Planning</i> , Vol. 8, No. 3, July 1995, pp. 110-118 (9 pgs.).	
		Anonymous, "Newly Launched Russell/Mellon Analytical Services Combines Global Client Base to Serve More Than \$2 Trillion in Assets," <i>PR Newswire</i> , January 20, 1999, p. 1488 (3 pgs.).	
		Anonymous, "Benchmarks for Evaluating Performance," <i>Association Management</i> , Vol. 50, No. 6, June 1998, p. 64 (1 pg.).	
		Preliminary Amendment, dated February 10, 2006, for U.S. Application No. 11/350,872, filed February 10, 2006 (Attorney Docket No. 05997.0013-04) (9 pages), which is a divisional of USPN 7,028,007.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<i>Application Number</i>	10/813,260
				<i>Filing Date</i>	March 31, 2004
				<i>First Named Inventor</i>	Paul A. THOMAS
				<i>Art Unit</i>	3696
				<i>Examiner Name</i>	Samica L. NORMAN
Sheet	2	of	2	<i>Attorney Docket Number</i>	05997.0013-03000

		Response to Restriction Requirement and Amendment, dated September 4, 2008, for U.S. Application No. 11/350,792, filed February 10, 2006 (Attorney Docket No. 05997.0013-05) (9 pages), which is a divisional of USPN 7,028,007.	

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.